

**U.S. Department of State  
U.S. Arms Control and Disarmament Agency  
United States Information Agency,  
including the Broadcasting Board of Governors**

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# **Office of Inspector General**

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# **Strategic Plan**

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## Foreword

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In the 10 years since an independent Office of Inspector General was formed at the Department of State, the responsibilities of this office have expanded to encompass the U.S. Arms Control and Disarmament Agency and the United States Information Agency, including the Broadcasting Board of Governors. The environment in which these agencies operate has also undergone changes unimagined a decade ago—a new post-Cold-War world order, innovative ways of looking at the work of government, an increasing emphasis on producing real results for the American people.

In this ever-changing environment, OIG must be proactive in addressing the challenges facing the foreign affairs agencies in their efforts to effectively implement U.S. foreign policy, clearly link resources to policy objectives, and maintain efficient, effective, and secure operations and infrastructures. We are committed to protecting the Secretary of State's ability to pursue the foreign policy objectives of the United States free from the impediments of waste, fraud, and mismanagement.

This strategic plan establishes the OIG-wide goals and strategies and provides the framework for our performance plan and the work that we will undertake into the 21st century. In keeping with our commitment to producing measurable results, OIG's strategic goals are focused not on our activities, personnel, and internal processes, but on the value-added outcomes that we expect to achieve through our work. While many of these outcomes lie outside of OIG's direct sphere of control, they represent the desired results toward which we will be directing our efforts in pursuit of our vision and mission.

OIG is committed to working with those entities potentially affected by or responsible for foreign affairs policy and program implementation, including the Congress and the agencies we serve, in achieving our strategic goals and promoting positive change in the foreign affairs community. We will continually reassess our goals and strategies, and update our plan as necessary, to ensure that our operations remain relevant, timely, and responsive to the priorities of the foreign affairs community.

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# Vision, Mission, and Values

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## Our Vision

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To be an independent and objective force for positive change in the foreign affairs community.

## Our Mission

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The mission of the Office of Inspector General (OIG ) is to propose innovative ideas and constructive solutions that lead to positive change in the foreign affairs community. OIG promotes economy, efficiency, and effectiveness and deters and prevents fraud, waste, and mismanagement in the programs and operations of our client agencies. The Inspector General keeps Congress, the Secretary of State, and the Directors of the U.S. Arms Control and Disarmament Agency (ACDA) and the United States Information Agency (USIA), including the Broadcasting Board of Governors (BBG), fully and currently informed about major issues and concerns involving the foreign affairs agencies.<sup>1</sup>

## Our Values

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The Office of Inspector General is committed to:

- Ensuring that our work achieves measurable gains.
- Recognizing that how we achieve results is as important as the results themselves.
- Working together and communicating effectively.
- Respecting and valuing each employee and supporting one another in achieving our highest potential.
- Encouraging professional development and recognizing exemplary performance.
- Taking personal responsibility for the quality of our work.

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<sup>1</sup> The Omnibus Consolidated and Emergency Supplemental Appropriations for Fiscal Year 1999 (H.R. 4328) provides for the consolidation of the State Department, ACDA, and USIA by October 1, 1999.

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## Framework

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The 1978 Inspector General Act and the 1980 Foreign Service Act, respectively, charge OIG with detecting and preventing waste, fraud, and mismanagement and with assessing whether U.S. foreign policy goals are being achieved, resources are used to maximum efficiency, and all elements of U.S. overseas missions are coordinated. With subsequent legislation mandating OIG's oversight of ACDA, USIA, and BBG, this authority covers about \$6 billion in programs and spending, and overall direction and coordination of the entire \$20 billion in Function 150 (foreign affairs) spending. In addition, OIG reviews the overall coordination by Chiefs of Mission of international programs by non-Function 150 agencies (such as the Department of Defense), except for military under the command of a regional commander.

OIG's security and intelligence oversight responsibilities were established through the Omnibus Diplomatic Security and Anti-terrorism Act of 1986 and executive orders 12333 (U.S. Intelligence Activities) and 12863 (President's Foreign Intelligence Advisory Board). OIG is also responsible for evaluating the client agencies' compliance with other legislation—such as the Chief Financial Officers Act, Federal Managers' Financial Integrity Act (FMFIA), and Clinger-Cohen Act (information technology reform)—designed to enhance management performance. Additionally, OIG plans to validate and verify the agencies' performance measures under the Government Performance and Results Act.

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## Strategic Goals

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### Goal: Improved implementation of U.S. foreign policy

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The successful development and implementation of U.S. foreign policy depends on many factors, including a clear understanding of foreign policy goals; communication, coordination, and cooperation, in Washington and at missions overseas, among the various agencies and entities with foreign policy interests and activities; and clear and consistent lines of communication and authority between the President, the Secretary of State, and the internal components of the Department of State at home and abroad. To achieve this strategic goal, OIG will work with the foreign affairs agencies in designing processes that will improve the development and implementation of U.S. foreign policy in Washington and at missions overseas. In all of its activities, OIG will pursue a more proactive and consultative approach to achieve positive change.

Based on the results of previous reviews, OIG has established several performance goals that should result in systemic improvements in foreign policy implementation. OIG will, for example, assist Chiefs of Mission in developing clear lines of communication and authority to coordinate and direct all elements, policies, and resources within their countries of accreditation. OIG will also assist the relevant agencies and Offices of Inspector General, as appropriate, in improving interdepartmental and interagency coordination and in verifying and validating the performance measures established for the strategic goals of the foreign affairs agencies.

## **Goal: Better alignment of fiscal and human resources with U.S. foreign policy priorities**

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The Department of State is establishing a new planning and budget process to link its foreign policy goals and priorities to its budget and other resources. Such a process should establish a clear link between mission and bureau program plans, the overseas staffing model, and the allocation of the Department's human and fiscal resources.

OIG will assess the effectiveness of the reorganized foreign affairs agencies' processes for aligning financial, personnel, and other resources with foreign policy goals and priorities. We will evaluate whether the foreign affairs agencies' performance measures and results confirm that resources were properly aligned and that projected outcomes were achieved. Based on these assessments, we will work with the foreign affairs agencies to identify and develop planning and alignment processes that will ensure the best use of resources in meeting the foreign policy priorities of the United States. In addition, OIG reports and testimony will provide the foreign affairs agencies and Congress with reliable and relevant information to assess how productively resources are being used to achieve U.S. foreign policy priorities.

OIG will use a multidisciplinary approach to examine processes and resource commitments, drawing on both our audit experience in assessing how resources are used and our inspection experience in assessing operations of Department bureaus and posts. This integrated approach may require crosstraining of appropriate personnel, as well as development of assignment, design, and measurement processes that will allow more effective exchange of audit and inspection information.

## **Goal: More effective, efficient, and secure operations and infrastructures**

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To provide a base for the conduct of U.S. foreign policy, a significant portion of the foreign affairs budget is devoted to developing, maintaining, and securing the infrastructures that underlie and support its operations. These include not only physical facilities and information systems, but the full range of logistics and support structures related to those operations, including financial management, grants management, procurement, personnel systems, and administrative support services.

Systemic weaknesses and security vulnerabilities in the operations of the foreign affairs agencies, as previously identified in our reviews, must be reduced in order to maximize the efficiency and effectiveness of the consolidated foreign affairs agencies.

To achieve this strategic goal, OIG will draw on its findings and recommendations, agency accountability reports such as FMFIA, and outside analyses (e.g., GAO reports) to identify, prioritize, and develop baseline data on the weaknesses and deficiencies affecting foreign affairs operations and infrastructures. We will assess the effectiveness of our recommendations, whether unresolved or implemented, in correcting systemic management weaknesses. We will determine whether unresolved recommendations have continued viability and whether recommendations already implemented have actually achieved intended results. We will target our analyses and activities on the basis of these priorities and will use audits and inspections, as well as multidisciplinary reviews, to identify necessary improvements on a global, regional, and functional basis.

In particular, we will assist in the foreign affairs reorganization efforts and will work with the agencies to identify opportunities to streamline operations and to reduce costs, inefficiency, and redundancy. We also will seek alternative means of reporting results and promoting implementation of recommendations to expand our influence in effecting positive change.



## **Goal: Greater adherence to fundamental principles governing professional and ethical conduct**

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To maintain the public trust, all employees must conform to fundamental guiding principles governing professional and ethical conduct. The standards derived from these principles, as defined in law, executive order, regulation, policy, and procedures, encompass a broad range of professional and ethical conduct, integrity, and management accountability. They are articulated in a variety of sources, including the Standards of Ethical Conduct for Employees of the Executive Branch, the Standards of Conduct booklet published by OIG, the Foreign Affairs Manual and Federal Acquisition Regulation, the Federal Managers' Financial Integrity Act, criminal and civil codes, internal control standards, and other guidelines for professional and management accountability.

OIG is mandated to prevent and detect waste, fraud, and mismanagement. Specific allegations or other information indicating possible violations of law or regulation are investigated by OIG special agents, supported by experts from other OIG offices as appropriate. For the most part, this investigative workload is reactive, being determined by irregular patterns of criminal activity and misconduct. Because timeliness is often as important as thoroughness in identifying the guilty and exonerating the innocent, OIG will reduce the length of time required to conduct its investigations and to close cases resulting in prosecution, civil fines or penalties, or administrative actions.

OIG also will work proactively, in consultation with targeted audiences, to improve adherence to standards of accountability by ensuring that employees are informed of and understand the standards specific to their professional and ethical conduct. Accordingly, OIG will work with the foreign affairs agencies to improve their programs for educating employees on standards of accountability.

## **Goal: Improved management and performance of resources to accomplish OIG objectives**

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In developing its first strategic plan, the OIG chose to focus on the three critical areas of any organization -- people, processes, and products. Much of the improvements and strategies developed in those first discussions have evolved into this fifth strategic goal of the OIG, which addresses enhancing its own internal management. Through this strategic goal, OIG is turning the same management eye on itself that it casts on other organizations.

In FY 1999, we will concentrate on establishing basic systems to improve our ability to recruit the right people, retain them, measure our work, and more fully integrate employee concerns into our management processes. In FY 2000 and beyond, we will maintain these systems and expand beyond them to aim at improving the quality of our products, to sharpen our ability to use our financial and people resources effectively and efficiently, to install institutional procedures for addressing problem areas early, and to fully develop an automated management information system which will integrate all of our various programs. We will continue our focus on identifying and addressing weaknesses in project management and use of OIG resources, and on improving the timeliness and quality of OIG products to better serve the needs of OIG constituencies and stakeholders.

To achieve this goal, OIG will focus on support functions that cross operational lines and affect several performance goals. Key to our success will be consultation with OIG core groups, senior management, line managers and staff to identify impediments and promote improvements in the management and performance of our processes, products, and people.

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## Assumptions and External Factors

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OIG has factored into its strategic plan the conditions and challenges under which it pursues its goals. These conditions, listed below as “assumptions,” were identified based on Administration policies and announcements on the status of the foreign policy structure, discussions with Congressional representatives and staffs, and meetings with officials within the foreign affairs agencies. In addition, certain external factors influence OIG’s ability to fully achieve the goals set forth in this strategic plan.

### Assumptions

- Growth in the Function 150 international affairs budget will be limited in the short- to mid-term.
- The foreign affairs workforce and infrastructure will be reorganized and streamlined.
- U.S. foreign policy goals will shift in response to changes in the world order.
- OIG’s organizational structure and workload will be adjusted within the framework of budgetary, policy, and legislative changes.
- Technology will play an increasingly important role in the way we do our work.
- The need for interagency cooperation, particularly in international exchanges, law enforcement, and intelligence efforts, will increase.
- Department overseas staffing will diminish vis-a-vis staffing of other U.S. Government agencies abroad.
- The level of threats to U.S. facilities and infrastructures will change.

### External Factors

- World crises (e.g., political unrest and natural disasters) may prevent OIG from conducting its activities at specific locations.
- Because of resource limitations and other constraints, the Department of State, ACDA, USIA, BBG, or other government entities may be unable or unwilling to implement OIG recommendations.

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## Implementation and Methodology

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### Strategies for achieving our goals

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In achieving these strategic goals, OIG will:

- Communicate OIG's mission and authorities clearly, consistently, and continually to principal clients and stakeholders. Expand outreach programs to clients and stakeholders and increase our participation in training programs and other forums to expand awareness of our mission, responsibilities, and commitments to the foreign affairs community.
- Regularly solicit the views of our principal clients and stakeholders through consultations, customer surveys, focus groups, and followup reviews. Respond to customer feedback to ensure that OIG products and services anticipate the needs of our customers and stakeholders.
- Be more proactive in addressing the challenges of the foreign affairs agencies. Work with the agencies to anticipate and address potential problems in new and developing initiatives and programs. Adopt a more consultative approach in communicating with stakeholders about OIG activities, findings, and recommendations. Expand productive dialogues with agency managers to increase OIG's span of influence in effecting positive change.
- Increase OIG focus on systemic issues and common deficiencies affecting the foreign affairs agencies. Expand analyses of findings and recommendations, and development and issuance of summary reports, to address systemic problems and weaknesses on a regional and global basis.
- Reexamine and reengineer OIG organizational structure and core processes and products, and establish automated systems to support OIG's mission. Ensure that strategic goals are achieved and that the priorities of the foreign affairs agencies are appropriately reflected in our work.

## Resources

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OIG will continue to reassess its personnel, information, and other resources to ensure that they are properly structured to support achievement of our strategic and performance goals. Additional training, as well as crosstraining and increased use of multidisciplinary teams, will be undertaken to effectively address the full range of foreign affairs programs, operations, infrastructures, and security and other standards and techniques. We are developing plans and methods to better manage our activities, enhance our information systems, and develop baseline data for measuring performance results. Our Management Information System Steering Committee will continue to address the evolving information needs and priorities of the OIG, to enable us to monitor our results and meet new requirements as they arise. We will reexamine how we allocate our resources, as necessary, to respond effectively to changes in the nature and focus of our work resulting from the reorganization of the foreign affairs agencies, changing foreign policy priorities, and world events.

This plan was developed by a multifunctional team of senior and mid-level managers. The team was aided by a consultant who was employed for 8 days, including a 2-day executive planning offsite, to facilitate the team's understanding of the strategic processes required to meet the intent of the law.

## Basis for selection of strategic goals and evaluation methodology

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OIG's strategic planning process began in 1995 with the formation of strategic development teams representing all OIG offices and levels of staff. In June 1995, OIG released its first vision and mission statements. Subsequently, a series of formal and informal discussions were held with OIG customers and stakeholders, including a strategic planning session with representatives of the congressional committees that oversee the OIG.

Based on the results of these discussions and a review of OIG statutory responsibilities, OIG published its first strategic plan in February 1996. This plan, which focused on our people and processes as well as our products, was the first step in an ever-evolving strategic process.

The Government Performance and Results Act provided the impetus for reexamining our mission and goals. Recognizing the need to further refine our goals and strategies, OIG held a strategic planning offsite in mid-1997. Based on ongoing consultations with customers and stakeholders and the requirements set forth in the Results Act, the executive team redefined the three original strategic goals into the four goals presented in this strategic plan.

Working within the framework provided by these goals and continued consultations with the executive staff, a strategic planning team, comprised of senior and mid-level managers from our core offices, developed this strategic plan and the supporting performance plans. These plans will continue to be refined and revised, as necessary, in response to continuing consultations with the Office of Management and Budget, Congress, the Department of State, ACDA, USIA, and the BBG, as well as the results of our strategic and performance strategies.

OIG's success in achieving these strategic goals will be measured by our progress in meeting our annual performance goals, which will be determined by ongoing evaluations of the performance indicators identified in our annual performance plan. Our programs, operations, and strategies will be adjusted as necessary in response to the results of these evaluations, which will be reported annually to Congress, as required by the Results Act. We also are in the process of establishing a management information system capable of tracking data to assess OIG's progress in achieving its strategic and annual performance goals.

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## Glossary

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### Acronyms

ACDA	Arms Control and Disarmament Agency
BBG	Broadcasting Board of Governors
FMFIA	Federal Managers' Financial Integrity Act
GAO	General Accounting Office
OIG	Office of Inspector General
USIA	United States Information Agency

### Definitions

**Infrastructure:** the facilities, equipment, and installations needed for the functioning of a system.

**Outcome:** the ultimate, long-term, resulting effects—both expected and unexpected—of the customer's use or application of the organization's outputs.

**Performance Measure:** the process of developing measurable indicators that can be systematically tracked to assess progress made in achieving predetermined goals and using such indicators to assess progress in achieving these goals.

**Process:** a set of activities that produce products and services for customers.

**Reengineering:** a systematic, disciplined improvement approach that critically examines, rethinks, and redesigns mission-delivery processes in order to achieve dramatic improvements in performance in areas important to customers and stakeholders.

**Stakeholder:** an individual or group with an interest in the success of an organization in delivering intended results and maintaining the viability of the organization's products and services.

**Validate:** to substantiate that the measure used indicates the extent to which an activity or program met stated objectives.

**Verify:** to determine the accuracy of data used to measure the work produced and the results achieved.